



# UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231  
www.uspto.gov

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/989,554	11/20/2001	David Carl Burdick	20257US1/110716	2152

7590 02/13/2003

Stephen M. Haracz, Esq.  
BRYAN CAVE LLP  
245 Park Avenue  
New York, NY 10167-0034

EXAMINER

QAZI, SABIHA NAIM

ART UNIT	PAPER NUMBER
----------	--------------

1616

5

DATE MAILED: 02/13/2003

Please find below and/or attached an Office communication concerning this application or proceeding.

## Office Action Summary

**Application No.**

09/989,554

**Applicant(s)**

BURDICK ET AL.

**Examiner**

Sabiha Naim Qazi

**Art Unit**

1616

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

### Status

- 1) ☐ Responsive to communication(s) filed on 20 November 2001.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

### Disposition of Claims

- 4) ☐ Claim(s) 9-14 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☐ Claim(s) 9-14 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
- Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
- 11) ☐ The proposed drawing correction filed on \_\_\_\_\_ is: a) ☐ approved b) ☐ disapproved by the Examiner.
- If approved, corrected drawings are required in reply to this Office action.
- 12) ☐ The oath or declaration is objected to by the Examiner.

### Priority under 35 U.S.C. §§ 119 and 120

- 13) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
- ☐ Certified copies of the priority documents have been received.
  - ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  - ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- \* See the attached detailed Office action for a list of the certified copies not received.
- 14) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. § 119(e) (to a provisional application).
- a) ☐ The translation of the foreign language provisional application has been received.
- 15) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121.

### Attachment(s)

- 1) ☒ Notice of References Cited (PTO-892) 4) ☒ Interview Summary (PTO-413) Paper No(s). 4.
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948) 5) ☐ Notice of Informal Patent Application (PTO-152)
- 3) ☒ Information Disclosure Statement(s) (PTO-1449) Paper No(s) 2. 6) ☐ Other:

Art Unit: 1616

This application is a division of 09/448,356 (now pending). Claims 9-14 are pending. Pre-amendments filed in paper no. 1 are now entered. Since preliminary amendments were not entered a restriction requirement was mailed which is now withdrawn. Mr. Brown called and told the Examiner that claims were cancelled at the time of filing the application. (see interview summary).

No claim is allowed.

***Claim Rejections - 35 USC § 112***

Claims 9-14 rejected under 35 U.S.C. 112, second paragraph, as being indefinite for failing to particularly point out and distinctly claim the subject matter which applicant regards as the invention.

Claim 14 is improperly dependent on claim 1, because claim 1 is cancelled. Appropriate correction is required.

The term "comprising" cited in claim 8 is inclusive and fails to exclude unrecited steps. The use of the term comprising to introduce claimed structure means that the ingredients covered by these claims may involve more elements than those positively recited. *Ex parte Gottzein et al.*, 168 USPQ 176 (PTO Bd. App. 1969). Comprising leaves the claim open for inclusion of unspecified ingredients even in major amounts. *Ex parte Davis et al.*, 80 USPQ 448 (PTO Bd. App. 1948).

***Claim Rejections - 35 USC § 103***

The factual inquiries set forth in *Graham v. John Deere Co.*, 383 U.S. 1, 148 USPQ 459 (1966), that are applied for establishing a background for determining obviousness under 35 U.S.C. 103(a) are summarized as follows:

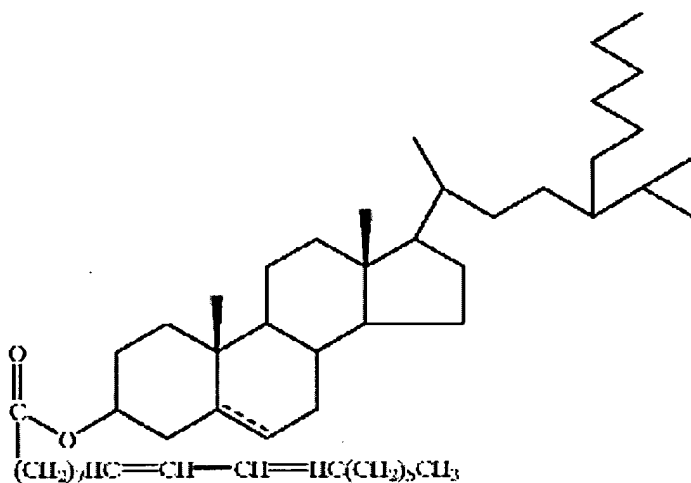
1. Determining the scope and contents of the prior art.
2. Ascertaining the differences between the prior art and the claims at issue.
3. Resolving the level of ordinary skill in the pertinent art.
4. Considering objective evidence present in the application indicating obviousness or nonobviousness.

1. Claim(s) 9-14 is rejected under 35 U.S.C. 103 as being unpatentable over Higgins, III (US Patent 6,147,236) and Higashidate et al. (J. of Chromatography, 515 (1990), 295-303). These references teach sterol esters and methyl esters of eicosapentaenoic acid (EPA) and docosahexaenoic acid (DHA), which

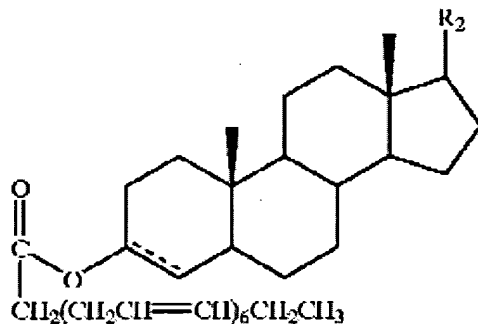
Art Unit: 1616

embrace instantly, claimed invention. See the entire documents especially lines 9-67, col. 2; cols. 3 and 4; lines 1-20, col. 5 in US '236; see abstract and first Para on page 295, Table 1 and last two paragraphs on page 302 in Higashidate reference.

Present claims differ from the reference in claiming a composition as in claim 9 for lowering the serum cholesterol and triglyceride levels whereas prior art US '236 teaches sterol esters with unsaturated fatty acids, for reducing serum cholesterol in a human examples given is same as one of the instantly claimed sterol ester i.e. sterol with DHA, sitosterol docosahexaenoate and sitostanol docosahexaenoate, see lines 13 and 14 in col. 5. See the following compounds. All of them are phytosterols esters of unsaturated fatty acids.



Beta-sitosterol octadecadienoate



$\beta$ -sitosterol docosahexaenoate; and  
 $\beta$ -sitostanol docosahexaenoate

Higashidate teaches DHA and EPA from fish oils and prevent diseases such as arteriosclerosis and myocardial infarction by lowering the concentration of lipids and cholesterol in blood.

It would have obvious to one skill in the art to prepare additional beneficial nutritional supplement using sterols with a pendent ester functionality which when hydrolyzed provides another cholesterol-lowering agent. Since Higgins teaches such sterol esters and Higashidate teaches that fish oil contains omega-3 fatty acids (a class of PUFA) which includes docosahexaenoic acid (DHA) and eicosahexaenoic acid (EPA), one would find ample motivation to prepare sterol esters with unsaturated fatty acids from active compounds present in fish oil (known to be used as nutritional supplement to lower the cholesterol and triglyceride levels) or using unsaturated fatty acids from any other source lowering the cholesterol and triglyceride levels.

In the light of the forgoing discussion, the Examiner's ultimate legal conclusion is that the subject matter defined by the instant claims would have been obvious within the meaning of 35 U.S.C. 103(a).

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Sabiha Naim Qazi whose telephone number is 703-305-3910. If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Jose Dees can be reached on 703-

Application/Control Number: 09/989,554

Page 5


Art Unit: 1616

308-4628. The fax phone numbers for the organization where this application or proceeding is assigned are 703-308-4556 for regular communications and 703-308-4556 for After Final communications.

Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the receptionist whose telephone number is 703-308-1235.

\*\*\*

February 9, 2003

  
SABIHA QAZI, PH.D  
PRIMARY EXAMINER